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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/824,175	03/30/2001	Scott Shyh Guang Yen	M-11437 US	8273

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EXAMINER

HECK, MICHAEL C

ART UNIT	PAPER NUMBER
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3623

DATE MAILED: 07/10/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/824,175

Applicant(s)

YEN, SCOTT SHYH GUANG

Examiner

Michael Heck

Art Unit

3623

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 30 March 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-14 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 March 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 5,6,11 6) ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

1. The following is a First Office Action in response to the application filed 30 March 2001. Claims 1-14 are pending in this application and have been examined on the merits as discussed below.

#### ***Drawings***

2. The drawings are objected to because Figure 3 shows a block diagram of a computer system identified as "204". The correct identity is -- 202 --. A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

#### ***Specification***

3. The disclosure is objected to because of the following informalities:
- a. Page 8, line 17, states "part of an EAI system." "EAI" is undefined as to what the letters stands for.
  - b. Page 9, line 9-10 delete "Business process manager creates 408 business process objects", insert -- Business process manager 408 creates business process objects --.
  - c. Page 19, line 22-23, delete "figure 11" and two "diagram 1100", insert -- Figure 12 -- and -- diagram 1200 --, respectively.
4. The above citation is a mere guide. Applicant is requested to review the specification thoroughly to eliminate additional errors. Appropriate correction is required.

***Claim Rejections - 35 USC § 112***

5. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

6. Claim 6 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim contains subject matter that was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. UML identified as “Universal Modeling Language” as recited in claim 6 was not disclosed in the specification. However, UML identified as “Uniform Modeling Language” was disclosed in the specification (Page 2, line 17, and Page 8, line 26). Both constructs are used in the industry. For purposes of examination, UML as written in claim 6 is interpreted to be “Universal Modeling Language”.

***Claim Rejections - 35 USC § 102***

7. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

8. Claims 1-5 and 7-14 are rejected under 35 U.S.C. 102(a) as being anticipated by Barkley (U.S. Patent 6,088,679). Barkley discloses workflow management employing role-based access control comprising:

- [Claim 1] defining an activity state, the activity state corresponding to a human-based or manual step; and identifying one or more performers for the activity state (Col 4,

lines 48-55, Col 5, lines 5-8, 32-36, 56 through to Col. 6, line 5, Barkley teaches RBAC defines membership of individuals in groups that is used as the basis for a workflow management system made up of activities).

- [Claim 2] defining reference data, the reference data being information that is to be made available to the performers of the activity state (Col. 6, lines 35-41, Barkley teaches each role has access to stored documents).
- [Claim 3] the reference data is made exclusively available to the performers of the activity state (Col. 5, lines 20-31, Barkley teaches a role has authority and responsibility, therefore, permission(s) associated with that role grants access to a resource).
- [Claim 4] the reference data is also made available to the performers of a second activity state (Col. 6, line 63 through to Col. 7, line 37, Barkley teaches parallel routings where users are assigned unique roles and perform their respective task with the information concurrently).
- [Claim 5] designating the activity state as reassignable to indicate that may be moved between performers (Col. 7, line 66 through to Col. 8, line 3. Barkley teaches a role can be assigned to one or more members of the project team).
- [Claim 7] receiving an event; causing a business-process object to transition to an activity state corresponding to the event; identifying one or more performers for the activity state; and creating a task for each performer (Col. 4, lines 9-26, Barkley teaches a business process can be partitioned into a sequential or parallel routing segment that has one or more activities. The workflow management system enacts each segment in the order specified by the process definition. The RBAC defines membership of individuals in a group and assigns them roles.).
- [Claim 8] waiting for each task to be completed; and causing the business process object to transition from the activity state (Col. 8, line 65 through to Col. 9, line 12, Barkley teaches the workflow process from identification of segments, roles, activities, assignment of individuals to completion of operation and deactivation of roles.)
- [Claim 9] providing each performer with reference data for the activity state (Col. 6, lines 35-41, Barkley teaches each role has access to stored documents).
- [Claim 10] the reference data is made exclusively available to the performers of the activity state (Col. 5, lines 20-31, Barkley teaches a role has authority and responsibility, therefore, permission(s) associated with that role grants access to a resource).

Art Unit: 3623

- [Claim 11] the reference data is also made available to the performers of a second activity state (Col. 6, line 63 through to Col. 7, line 37, Barkley teaches parallel routings where users are assigned unique roles and perform their respective task with the information concurrently).
- [Claim 12] the step of retrieving modified reference data from one or more of the performers of the activity state (Col. 6, line 63 through to Col. 7, line 37, Barkley teaches sequential routings where users are assigned unique roles and perform their respective task with the information they receive from the previous activity.)
- [Claim 13] the step of conditionally selecting a transition out of the activity state based on the retrieved modified reference data (Col. 7, line 52 through to Col. 8, line 64, Barkley teaches via an example the role once assigned performs the activity. The successful completion on the activity results in the creation of the next activity and removal of the completed role from the assignment allowing the new activity to proceed. The new activity receives the first completed activity information to complete their role.).
- [Claim 14] receiving a second event; and applying the second event to the activity state only if the event is targeted to the activity state (Col. 7, line 52 through to Col. 8, line 64, Barkley teaches via an example the role once assigned performs the activity. The successful completion on the activity results in the creation of the next activity and removal of the completed role from the assignment allowing the new activity to proceed. The new activity receives the first completed activity information to complete their role. All activities are related to one task.).

***Claim Rejections - 35 USC § 103***

9. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

10. Claim 6 is rejected under 35 U.S.C. 103(a) as being unpatentable over Barkley (U.S. Patent No. 6,088,679) in view of Glebov et al. (U.S. Patent No. 6,343,265). Barkley discloses

Art Unit: 3623

workflow management employing role-based access control but fails to disclose the business process model created using extended UML (Universal Modeling Language) constructs.

11. Barkley teaches the Workflow Management System is a system that defines, creates and manages the execution of workflows through the use of software which is able to interpret the process definition, interact with the workflow participants and, where required, invoke the use of information technology tools and applications (Col. 5, lines 50-55). Glebov et al. teaches a system for mapping objects in a design model using a design language (Universal Modeling Language) that defines a problem space to a common repository accessible to application development tools in a manner the preserves contextual information of the model constructs and their properties (Abstract and Col. 1, lines 8-12). Using a language that preserves contextual information of the model constructs and their properties as the process is executed by the workflow participants allows the participants to view the information supplied by the previous participants in the workflow so they can make an informed decision. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to modify Barkley with the teachings of Glebov et al. to use a UML (Universal Modeling Language) that preserved the activity of the previous participant so the next participant could make an informed decision.

### *Conclusion*

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Lautzenheiser et al. (U.S. Patent No. 6,023,572) discloses a system and method for modeling activities of people in an organization. The system models the relationship

between the processes and information exchanges of an organization. A Task data element is connected to the Person Plan data element via a relationship line. The dynamic view shows process and events, the occurrence of which results in the transition from one process to another. The next process views the data elements that are generated and referenced by the various processes.

- Du et al. (U.S. Patent No. 6,308,163) discloses a system and method for enterprise workflow resource management that includes a multi-level resource manager hierarchy. When a request reaches a resource manager, the first step is to determine whether the resource manager can handle the request or if it needs to be passed to a policy engine component that determine whether a particular resource can be found to satisfy the request.



Art Unit: 3623

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael C. Heck whose telephone number is (703) 305-8215. The examiner can normally be reached Monday thru Friday between the hours of 8:30am - 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tariq R. Hafiz can be reached on (703) 305-9643.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

Any response to this action should be mailed to:


**Commissioner of Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450**

Or faxed to:

<b>(703) 305-7687</b>	[Official communications; including After Final communications labeled "Box AF"]
<b>(703) 746-9419</b>	[Informal/Draft communication, labeled "PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington, Virginia, 7<sup>th</sup> floor receptionist.

mch  
02 July 2003

  
**TARIQ R. HAFIZ  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600**